

Clerk of the House of Representatives
Legislative Resource Center
B-106 Cannon Building
Washington, DC 20515

<http://lobbyingdisclosure.house.gov>

Secretary of the Senate
Office of Public Records
232 Hart Building
Washington, DC 20510

<http://www.senate.gov/lobby>

LOBBYING REPORT

Lobbying Disclosure Act of 1995 (Section 5) - All Filers Are Required to Complete This Page

1. Registrant Name ☒ Organization/Lobbying Firm ☐ Self Employed Individual

UBS AMERICAS, INC.

2. Address ☐ Check if different than previously reported

Address1 **1501 K Street, N.W.**

Address2 **Suite 1100**

City **Washington**

State **DC**

Zip Code **20005**

Country **USA**

3. Principal place of business (if different than line 2)

City **Stamford**

State **CT**

Zip Code **06901**

Country **USA**

4a. Contact Name

JOHN SAVERCOOL

b. Telephone Number

☐ International Number

(202) 585-8987

c. E-mail

John.Savercool@ubs.com

5. Senate ID#

78436-12

7. Client Name

☒ Self

☐ Check if client is a state or local government or instrumentality

UBS AMERICAS, INC.

6. House ID#

363290000

TYPE OF REPORT

8. Year **2008**

Q1 (1/1 - 3/31) ☒

Q2 (4/1 - 6/30) ☐

Q3 (7/1-9/30) ☐

Q4 (10/1 - 12/31) ☐

9. Check if this filing amends a previously filed version of this report ☐

10. Check if this is a Termination Report ☐

Termination Date

11. No Lobbying Issue Activity ☐

INCOME OR EXPENSES - YOU MUST complete either Line 12 or Line 13

12. Lobbying

INCOME relating to lobbying activities for this reporting period was:

Less than \$5,000 ☐

\$5,000 or more ☐

\$

Provide a good faith estimate, rounded to the nearest \$10,000, of all lobbying related income from the client (including all payments to the registrant by any other entity for lobbying activities on behalf of the client).

13. Organizations

EXPENSE relating to lobbying activities for this reporting period were:

Less than \$5,000 ☐

\$5,000 or more ☒

\$ **\$ 170,000.00**

14. REPORTING

Check box to indicate expense accounting method. See instructions for description of options.

☒ **Method A.** Reporting amounts using LDA definitions only

☐ **Method B.** Reporting amounts under section 6033(b)(8) of the Internal Revenue Code

☐ **Method C.** Reporting amounts under section 162(e) of the Internal Revenue Code

Signature

Filed Electronically

Date

04/18/2008

Printed Name and Title **John Savercool, Managing Director and Senior Lobbyist**

LOBBYING ACTIVITY. Select as many codes as necessary to reflect the general issue areas in which the registrant engaged in lobbying on behalf of the client during the reporting period. Using a separate page for each code, provide information as requested. Add additional page(s) as needed.

15. General issue area code

BAN

BANKING

(one per page)

16. Specific lobbying issues

HR 698/S 1356, "Industrial Bank Holding Company Act of 2007."

17. House(s) of Congress and Federal agencies ☐ Check if None

Treasury - Dept of, U.S. HOUSE OF REPRESENTATIVES, U.S. SENATE

18. Name of each individual who acted as a lobbyist in this issue area

First Name	Last Name	Suffix	Covered Official Position (if applicable)	New
Jason	Cole			<input type="checkbox"/>
				<input type="checkbox"/>
				<input type="checkbox"/>
				<input type="checkbox"/>
				<input type="checkbox"/>
				<input type="checkbox"/>
				<input type="checkbox"/>
				<input type="checkbox"/>
				<input type="checkbox"/>

19. Interest of each foreign entity in the specific issues listed on line 16 above ☒ Check if None

Printed Name and Title

John Savercool, Managing Director and Senior Lobbyist

LOBBYING ACTIVITY. Select as many codes as necessary to reflect the general issue areas in which the registrant engaged in lobbying on behalf of the client during the reporting period. Using a separate page for each code, provide information as requested. Add additional page(s) as needed.

15. General issue area code

FIN

FINANCIAL INSTITUTIONS/INVESTMENTS/SECURITIES

(one per page)

16. Specific lobbying issues

Issues relating to 401(k) Plan Fee Disclosures. Issues relating to hedge funds and private equity governance.
Issues relating to convergence of US GAAP and IFRS accounting standards.
Issues relating to international trading of securities.

17. House(s) of Congress and Federal agencies ☐ Check if None

U.S. HOUSE OF REPRESENTATIVES, U.S. SENATE, Securities & Exchange Commission (SEC),
Treasury - Dept of,

18. Name of each individual who acted as a lobbyist in this issue area

First Name	Last Name	Suffix	Covered Official Position (if applicable)	New
John	Savercool			<input type="checkbox"/>
Jason	Cole			<input checked="" type="checkbox"/>
Peter	Rowan			<input checked="" type="checkbox"/>
Dick	Ribbentrop			<input checked="" type="checkbox"/>
				<input type="checkbox"/>
				<input type="checkbox"/>
				<input type="checkbox"/>
				<input type="checkbox"/>
				<input type="checkbox"/>

19. Interest of each foreign entity in the specific issues listed on line 16 above ☐ Check if None

UBS AG, previously listed on Form LD-1, has an interest in US GAAP accounting standards.

Printed Name and Title

John Savercool, Managing Director and Senior Lobbyist

HR 1427/S 1100, "Federal Housing Finance Reform Act."

HR 3012, "Fair Mortgage Practices Act of 2007."

S 1299, "Borrower's Protection Act."

HR 3915, "Mortgage Reform and Anti-Predatory Lending Act of 2007."

Mutual fund fee structure.

Regulation of Investment Advisors and Broker Dealers.

Financial services industry regulatory reform, including the regulatory Blueprint from the Department of Treasury.

Sovereign wealth funds and cross-border capital flow.

Monoline insurers and associated issues in the auction rate securities markets.

HR 5140, "Recovery Rebates and Economic Stimulus for the American People Act of 2008."

HR 1852/ S 2338, "Expanding American Homeownership Act of 2007."

Draft legislation to allow the FHA to refinance distressed mortgages.

S 2636, "Foreclosure Prevention Act of 2008," and HR 3221.

HR 5579, "To remove an impediment to troubled debt restructuring on the part of holders of residential mortgage loans, and for other purposes."

LOBBYING ACTIVITY. Select as many codes as necessary to reflect the general issue areas in which the registrant engaged in lobbying on behalf of the client during the reporting period. Using a separate page for each code, provide information as requested. Add additional page(s) as needed.

15. General issue area code

GOV

GOVERNMENT ISSUES

(one per page)

16. Specific lobbying issues

HR 1908/S 1145, "The Patent Reform Act of 2007."
Visa reform issues, including an increase in H1-B visas and extension of time limits on Optional Practical Training visas.

17. House(s) of Congress and Federal agencies ☐ Check if None

U.S. SENATE, Treasury - Dept of, Homeland Security - Dept of (DHS), Executive Office of the President (EOP)

18. Name of each individual who acted as a lobbyist in this issue area

First Name	Last Name	Suffix	Covered Official Position (if applicable)	New
Dick	Ribbentrop			<input type="checkbox"/>
Jason	Cole			<input checked="" type="checkbox"/>
				<input type="checkbox"/>
				<input type="checkbox"/>
				<input type="checkbox"/>
				<input type="checkbox"/>
				<input type="checkbox"/>
				<input type="checkbox"/>
				<input type="checkbox"/>

19. Interest of each foreign entity in the specific issues listed on line 16 above ☒ Check if None

Printed Name and Title John Savercool, Managing Director and Senior Lobbyist

LOBBYING ACTIVITY. Select as many codes as necessary to reflect the general issue areas in which the registrant engaged in lobbying on behalf of the client during the reporting period. Using a separate page for each code, provide information as requested. Add additional page(s) as needed.

15. General issue area code

TAX

TAXATION/INTERNAL REVENUE CODE

(one per page)

16. Specific lobbying issues

HR 4912, "To amend the Internal Revenue Code with respect to the treatment of prepaid derivative contracts."
HR 2419, "Farm Bill Extension Act of 2007." (Tax titles)

17. House(s) of Congress and Federal agencies ☐ Check if None

U.S. HOUSE OF REPRESENTATIVES, U.S. SENATE, Treasury - Dept of

18. Name of each individual who acted as a lobbyist in this issue area

First Name	Last Name	Suffix	Covered Official Position (if applicable)	New
John	Savercool			<input type="checkbox"/>
Jason	Cole			<input checked="" type="checkbox"/>
Peter	Rowan			<input checked="" type="checkbox"/>
				<input type="checkbox"/>
				<input type="checkbox"/>
				<input type="checkbox"/>
				<input type="checkbox"/>
				<input type="checkbox"/>
				<input type="checkbox"/>
				<input type="checkbox"/>

19. Interest of each foreign entity in the specific issues listed on line 16 above ☒ Check if None

Printed Name and Title John Savercool, Managing Director and Senior Lobbyist

HR 878/S 601, "Simplification Through Additional Reporting Tax Act of 2007." (Basis reporting)

HR 2136/S 681, "Stop Tax Haven Abuse Act." (Including economic substance)

HR 6, "CLEAN Energy Act of 2007." (Tax titles)

HR 4351, "The AMT Relief Act." (Economic substance, non-qualified deferred compensation)

HR 3765, "To amend the Internal Revenue Code of 1986 to provide transparency with respect to fees and expenses charged to participant-directed defined contribution plans."

HR 5140, "Recovery Rebates and Economic Stimulus for the American People Act of 2008."

LOBBYING ACTIVITY. Select as many codes as necessary to reflect the general issue areas in which the registrant engaged in lobbying on behalf of the client during the reporting period. Using a separate page for each code, provide information as requested. Add additional page(s) as needed.

15. General issue area code

BNK

BANKRUPTCY

(one per page)

16. Specific lobbying issues

HR 3609, "Emergency Home Ownership and Mortgage Equity Protection Act of 2007."
S 2136, "Helping Families Save their Homes in Bankruptcy Act of 2007."

17. House(s) of Congress and Federal agencies ☐ Check if None

U.S. HOUSE OF REPRESENTATIVES, U.S. SENATE, Federal Reserve System, Treasury - Dept of

18. Name of each individual who acted as a lobbyist in this issue area

First Name	Last Name	Suffix	Covered Official Position (if applicable)	New
Jason	Cole			<input type="checkbox"/>
John	Savercool			<input checked="" type="checkbox"/>
				<input type="checkbox"/>
				<input type="checkbox"/>
				<input type="checkbox"/>
				<input type="checkbox"/>
				<input type="checkbox"/>
				<input type="checkbox"/>
				<input type="checkbox"/>

19. Interest of each foreign entity in the specific issues listed on line 16 above ☒ Check if None

Printed Name and Title John Savercool, Managing Director and Senior Lobbyist

LOBBYING ACTIVITY. Select as many codes as necessary to reflect the general issue areas in which the registrant engaged in lobbying on behalf of the client during the reporting period. Using a separate page for each code, provide information as requested. Add additional page(s) as needed.

15. General issue area code

ENGENERGY/NUCLEAR

(one per page)

16. Specific lobbying issues

HR 6, "CLEAN Energy Act of 2007."
HR 3221, New Direction for Energy Independence, National Security, and Consumer Protection Act."
S 1419, "Renewable Fuels, Consumer Protection, and Energy Efficiency Act of 2007."

17. House(s) of Congress and Federal agencies ☐ Check if None

U.S. HOUSE OF REPRESENTATIVES, U.S. SENATE

18. Name of each individual who acted as a lobbyist in this issue area

First Name	Last Name	Suffix	Covered Official Position (if applicable)	New
Jason	Cole			<input type="checkbox"/>
Peter	Rowan			<input checked="" type="checkbox"/>
				<input type="checkbox"/>
				<input type="checkbox"/>
				<input type="checkbox"/>
				<input type="checkbox"/>
				<input type="checkbox"/>
				<input type="checkbox"/>
				<input type="checkbox"/>

19. Interest of each foreign entity in the specific issues listed on line 16 above ☒ Check if None

Printed Name and Title

John Savercool, Managing Director and Senior Lobbyist

LOBBYING ACTIVITY. Select as many codes as necessary to reflect the general issue areas in which the registrant engaged in lobbying on behalf of the client during the reporting period. Using a separate page for each code, provide information as requested. Add additional page(s) as needed.

15. General issue area code

EDU

EDUCATION

(one per page)

16. Specific lobbying issues

HR 5715, "To ensure continued availability of access to the Federal student loan program for students and families."
Proposal to enhance liquidity in student loan auction rate securities market.

17. House(s) of Congress and Federal agencies ☐ Check if None

U.S. HOUSE OF REPRESENTATIVES, Treasury - Dept of, Education - Dept of

18. Name of each individual who acted as a lobbyist in this issue area

First Name	Last Name	Suffix	Covered Official Position (if applicable)	New
John	Savercool			<input type="checkbox"/>
Peter	Rowan			<input checked="" type="checkbox"/>
				<input type="checkbox"/>
				<input type="checkbox"/>
				<input type="checkbox"/>
				<input type="checkbox"/>
				<input type="checkbox"/>
				<input type="checkbox"/>
				<input type="checkbox"/>

19. Interest of each foreign entity in the specific issues listed on line 16 above ☒ Check if None

Printed Name and Title John Savercool, Managing Director and Senior Lobbyist

LOBBYING ACTIVITY. Select as many codes as necessary to reflect the general issue areas in which the registrant engaged in lobbying on behalf of the client during the reporting period. Using a separate page for each code, provide information as requested. Add additional page(s) as needed.

15. General issue area code

RET

RETIREMENT

(one per page)

16. Specific lobbying issues

HR 3185, "401(k) Fair Disclosure for Retirement Security Act."

17. House(s) of Congress and Federal agencies ☐ Check if None

U.S. HOUSE OF REPRESENTATIVES

18. Name of each individual who acted as a lobbyist in this issue area

First Name	Last Name	Suffix	Covered Official Position (if applicable)	New
Jason	Cole			<input type="checkbox"/>
Peter	Rowan			<input checked="" type="checkbox"/>
				<input type="checkbox"/>
				<input type="checkbox"/>
				<input type="checkbox"/>
				<input type="checkbox"/>
				<input type="checkbox"/>
				<input type="checkbox"/>
				<input type="checkbox"/>

19. Interest of each foreign entity in the specific issues listed on line 16 above ☒ Check if None

Printed Name and Title John Savercool, Managing Director and Senior Lobbyist

Information Update Page - Complete ONLY where registration information has changed.

20. Client new address

Address

CityStateZip Code - Country

21. Client new principal place of business (if different than line 20)

CityStateZip Code - Country

22. New General description of client's business or activities

LOBBYIST UPDATE

23. Name of each previously reported individual who is no longer expected to act as a lobbyist for the client

1	First Name	Last Name	Suffix	3	First Name	Last Name	Suffix
	William Philip	Gramm					
2				4			

ISSUE UPDATE

24. General lobbying issue that no longer pertains

AFFILIATED ORGANIZATIONS

25. Add the following affiliated organization(s)

Internet Address:

Name	Address	Principal Place of Business (city and state or country)
	Street Address	
	City	City
	State/Province	State
	Zip	Country
	Country	
		City
		State
		Country

26. Name of each previously reported organization that is no longer affiliated with the registrant or client

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FOREIGN ENTITIES

27. Add the following foreign entities

Name	Address	Principal place of business (city and state or country)	Amount of contribution for lobbying activities	Ownership percentage in client
	Street Address			
	City	City		
	State/Province	State		
	Country	Country		
UBS AG	Bahnhofstrasse 45, CH-8098	City Zurich		
	Zurich	State	\$ 0.00	100 %
		Country SUI		

28. Name of each previously reported foreign entity that no longer owns, or controls, or is affiliated with the registrant, client or affiliated organization

135

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